

FEB 02 2005

PTO/SB/08a (08-03)

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

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of

12

**Complete if Known**

Application Number	09/010,919
Filing Date	January 23, 1998
First Named Inventor	Christopher J. Ordish et al.
Art Unit	3626
Examiner Name	A. Kalinowski
Attorney Docket Number	003432.73540

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
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**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		RDTS Prototype Message Specification Draft Release dated April 14, 1986.	
		RDTS Prototype Message Specification Version 1.1 dated May 9, 1986.	
		Change_2 Pages to RDTS Prototype Message Specification Version 1.1 dated May 19, 1986.	
		RDTS Prototype Message Specification Version 1.4 dated October 30, 1986.	
		A Conference Sponsored by Waters Information Services, Inc. dated November 2, 1988.	
		RDTS Project Scheduling Notes dated July 1, 1987.	

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		Sybase Database Plan for Evaluation dated June 17, 1987.			
		Sybase Database Plan for Evaluation dated July 10, 1987.			
		RDTS Matching Algorithm Principles dated September 18, 1986.			
		Minutes of Meeting dated November 5, 1987.			
		D2000 Operations Requirements Subcommittee Meeting dated October 26, 1988.			
		D2000 12" to 14" color screen layouts dated June 30, 1988.			
		Review and Comments on Dealing 2000 Central Systems Operations Manual – Version 1.0 dated September 9, 1988.			

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		Clarifications to the D2000 Functional Specification dated October 3, 1988.	
		Dealing 2000 Presentation to Marketing and Technical Executives dated May 9, 1988.	
		Reuter Dealer Trading System Central System Operations Manual (Phase 0) dated January 26, 1988.	
		RDTS Marketing Requirements dated October 4, 1985.	
		RDTS Product Requirement dated December 4, 1985.	
		RDTS Phase 0 Forex Requirements Specification dated March 28, 1988.	
		Reuter Dealing Trading System Product Requirements dated November 18, 1985.	

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		D2000 MRS For Dealing and RDTs Terminal Integration dated March 25, 1988.			
		RDTs Application Note 1 The Grouping Concept Architecture and Implementation in D2000 Phase 0 dated October 8, 1988.			
		Minutes of RDTs Development/QA Committee Meeting dated October 3, 1988.			
		RDTs SPRs for Week Ending 10/07/88.			
		Dealing 2000 N. Keller (6138) Project #7013 dated August 1, 1988.			
		Minutes of RDTs Development/QA Committee Meeting dated January 30, 1989.			
		RDTs Operability Requirements dated February 2, 1989.			

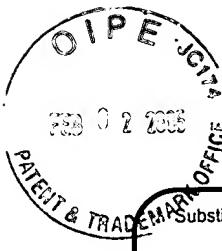
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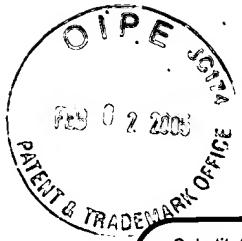
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		D2000-2 Administration Procedures: Management Summary dated November 22, 1989.			
		TR-AID Trading Support System.			
		D2000-2 Security Policy dated November 21, 1989.			
		Disallow Setting All Limits to Zero dated March 31, 1989.			
		D2000-1 Administration Guidelines dated March 17, 1989.			
		D2000-2 Central Administration System.			
		D2000-2 Review of Archive System Requirement Specification dated July 1989.			

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		Transaction Desk Audit – Credit limit information dated December 12, 1989.			
		Functional Clarification dated November 14, 1989.			
		Handling of Match Notification at Client Site dated November 21, 1989.			
		NDCS Development dated November 10, 1989.			
		RDTS Archive System-Report Qualifiers dated November 8, 1989.			
		D2000-2 = Price Updating/Cross Rate Credit Limits dated August 22, 1989.			
		PA Consulting Proposal For D2000-2 IBM Forms Processing & Facsimile Interfaces dated August 1, 1989.			

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		D2000-2 Software Releases dated August 22, 1989.			
		TDESK Quorum dated July 21, 1989.			
		Broadcast Download Implementation dated July 28, 1989.			
		System Clock Synchronisation dated April 25, 1989.			
		Locked Markets dated June 13, 1989.			
		D2000 Functional Changes dated June 9, 1989.			
		D2000 Pre-Launch Requirements dated June 15, 1989.			

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

8 of 12

**Complete if Known**

Application Number	09/010,919
Filing Date	January 23, 1998
First Named Inventor	Christopher J. Ordish et al.
Art Unit	3626
Examiner Name	A. Kalinowski
Attorney Docket Number	003432.73540

**U.S. PATENT DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number - Kind Code <sup>2</sup> (if known)			
	US-				

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup> - Number <sup>4</sup> - Kind Code <sup>5</sup> (if known)				

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
		D2000-2 Modifications dated June 15, 1989.	
		D2000 Functional Changes dated June 9, 1989.	
		D2000-2 Central Administration System dated May 24, 1989.	
		Operational Requirement – Fault Tolerance D2000-2 dated May 2, 1989.	
		Marketing and Operational Requirements dated April 28, 1989.	
		Minutes of the D2000 Project Control Meeting Held on May 8, 1989.	
		RDTS Recovery Characteristics dated April 12, 1989.	

Examiner Signature

Date Considered

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Sheet

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		Component Alarms dated April 4, 1989.			
		Aggressor, Trade Token Definitions dated March 29, 1989.			
		Archive System dated March 17, 1989.			
		Downline Loading of the D2000 client site MRS – comments dated March 17, 1989.			
		Minutes of the Operations Requirements Meeting Held in Port Jefferson on February 14, dated March 7, 1989.			
		D2000 Client Site Downline Loading dated March 7, 1989.			
		D2000 Client Site Downline Loading dated March 2, 1989.			

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Date Considered

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## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

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Sheet

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Application Number	09/010,919
Filing Date	January 23, 1998
First Named Inventor	Christopher J. Ordish et al.
Art Unit	3626
Examiner Name	A. Kalinowski
Attorney Docket Number	003432.73540

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		Note for the Record - Network Operability.			
		D2000 Client Site Downline Loading dated March 2, 1989.			
		D2000 Client Site Software Download dated February 27, 1989.			
		RDTs Operability Requirements dated February 2, 1989.			
		Dealing 2000 Project dated December 2, 1988.			
		Operability Release – Version 2 dated January 10, 1989.			
		RDTs/D2000 Technical Requirements dated January 5, 1989.			

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Sheet	11	of	12	<b>Complete if Known</b>
				Application Number
				09/010,919
				Filing Date
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				First Named Inventor
				Christopher J. Ordish et al.
				Art Unit
				3626
				Examiner Name
				A. Kalinowski
				Attorney Docket Number
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		D2000 Marketing Requirements dated January 10, 1989.	
		D2000-2 Project Schedules dated December 6, 1989.	
		Results of the Forex Schedule Review dated October 27, 1989.	
		D2000 Implementation Status dated August 3, 1989.	
		Reports – Gantt Chart, Activity Detail and Dependency Definition dated May 4, 1989.	
		D2000-2 Project Schedule dated June 2, 1989.	
		Request for Impact Statement for Potential RDTs FX Requirements dated November 29, 1988.	

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Sheet 12 of 12

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Filing Date	January 23, 1998
First Named Inventor	Christopher J. Ordish et al.
Art Unit	3626
Examiner Name	A. Kalinowski
Attorney Docket Number	003432.73540

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		Phasing of RDTS FX Requirements dated October 12, 1988.	
		Engineering Developments dated November 11, 1988.	
		Standby Site for the D2000 Host – Version II dated November 3, 1988.	
		D2000 Day-1 Requirements dated September 8, 1988.	
		RDTS Day-1 Requirements dated August 30, 1988.	
		Dealing 2000 Phase II Requirements – Priorities dated August 24, 1988.	
		D2000 Network Control and Fault Diagnostic Requirements [V 0.2] dated July 14, 1988.	
		Analysis of information collected from RMDS dated May 23, 1988.	

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